MENTALLY ILL OFFENDER Design 1

Program Evaluation Survey

This survey will become part of your county's MIO contract with the Board of Corrections. For purposes of this survey:

- "Program" refers to a defined set of interventions that will be given to a specified research sample in order to evaluate well-stated hypotheses. If you have more than one Program, please fill out a separate survey for each Program.

- "Research Design" refers to the procedures you will use to test the stated hypotheses for your Program. In some instances you will have more than one Research Design for a Program, in which case a separate survey must be completed for each Research Design.

- "Project" refers to all the work that you propose to do with the MIO Grant. For example, if you have two Programs and two Research Designs for each Program, the entire effort would constitute your Project (and you would complete four surveys).

To simplify the task of completing this survey, we refer you to two sources: 1) the initial Research Design Summary Form, and 2) your Program's responses to the technical compliance issues identified during the grant review. If no additional information was requested of a particular item on the Research Design Summary Form, you can enter the original text into the appropriate space below. If more information was requested, provide a more complete response.

1.	County: Sacramento	
1a.	Researcher: *Tracy Herbert*	Phone: *916-875-0831*
	Address: *3701 Branch Center Road*	Fax: *916-875-0877*
	Sacramento, CA 95827	E-mail: *herbertt@dhhs.co.sacramento.ca.us*
1b.	Research Manager: same	Phone:
	Address:	Fax:
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1c.	Principal Data Collector: *Carmen Stitt*	Phone: *916-875-0880*
	Address: *3701 Branch Center Road*	Fax: *916-875-0877*
	Sacramento, CA 95827	E-mail: *stittcr@usa.net*

2. **Program Name:** Current Board of Corrections grant participants have found it useful to pick a name that helps them to create a Program identity (two examples are the "IDEA" Program and the "Home Run" Program). Indicate the title you will be using to refer to your Program.

Project Redirection

3. **Treatment Interventions**: Describe the components of the Program that you will be evaluating. Another way of saying this is, "Describe how the 'treatment' offenders (those in the Program) will be treated differently than the comparison offenders (e.g., services while incarcerated, more intensive supervision, more thorough assessment, a wider range of services, more aggressive case management, better aftercare)."

The treatment intervention is characterized by 4 main components: stable housing; intensive case management (including RN and probation officer); integrated substance abuse and mental health treatment; and crisis management. The provision of

services will begin while the offender is incarcerated, and will continue throughout the life of the grant. The philosophy of the program is that once an individual is assigned to the therapeutic services, the services are always available to them.

4. **Research Design:** Describe the Research Design that you will be using. Issues to be addressed here include the name of the design (e.g., true experimental design), the use of random assignment, and any special features that you will include in the design (e.g., the type of comparison group you will use for quasi-experimental designs).

The research design will be a true experimental design with random assignment of clients to treatment and comparison groups. There will also be pre-assignment stratification based on sex.

4a. Check (✓) the statement below that best describes your Research Design. If you find that you need to check more than one statement (e.g., True experimental and Quasi-experimental), you are using more than one Research Design and will need to complete a separate copy of the survey for the other design. Also, check the statements that describe the comparisons you will be making as part of your Research Design.

	Research Design (Check One)
X	True experimental with random assignment to treatment and comparison groups
	Quasi-experimental with matched contemporaneous groups (treatment and comparison)
	Quasi-experimental with matched historical group
	Other (Specify)
	Comparisons (Check all that apply)
	Post-Program, Single Assessment
	Post-Program, Repeated Assessments (e.g., 6 and 12 months after program separation)
	Pre-Post Assessment with Single Post-Program Assessment
	Pre-Post Assessment with Repeated Post-Program Assessments (e.g., 6 and 12 months after program separation)
X	Other (Specify) *Pre-Post Assessment with Repeated Post-Entrance Assessments (e.g., 6 months, 1 year, 2 years after program entry) – because our clients will not "leave" the program, we will conduct repeated assessments at regular intervals after program entry.*

4b. If you are using a historical comparison group, describe how you will control for period and cohort effects.

Not Applicable

5. **Cost/Benefit Analysis**: Indicate by checking "yes" or "no" whether you will be conducting a Program cost/benefit analysis that includes at least: a) the cost per participant of providing the interventions to the treatment and comparison groups; b) the cost savings to your county represented by the effectiveness of the treatment interventions; and, c) your assessment of the program's future (e.g., it will continue as is, be changed significantly, be dropped) given the results of the cost/benefit analysis.

Cost/Benefit Analysis			
X	Yes		No

5a. If you will perform a cost/benefit analysis, describe how that analysis will be performed.

The cost/benefit analysis will address each of the three issues indicated above. The cost per participant will be relatively straightforward to determine. In terms of County cost savings, factors that will be considered include: the cost of being arrested (booking fees, etc.), the daily cost of being housed in the county jail, the daily cost of in-patient days while in jail, and the daily cost of in-patient days at the county Mental Health Treatment Center.

6. **Target Population**: This refers to the criteria that treatment and comparison subjects must meet in order to be able to participate in the research. Target criteria might include diagnostic categories, age, gender, risk level, legal history, geographical area of residence, etc. Please provide a detailed description of the criteria you will be using and how you will measure those criteria to determine eligibility.

There are three criteria for being eligible to be included in the target population: (1) at least three previous admissions to Jail Psychiatric Services during a three year period; (2) diagnoses of schizophrenia and other psychotic disorders, major depression, or bipolar disorder; and (3) not on current parole, or no history of murder, rape, robbery, kidnapping, sexual battery, or being a registered sex offender. Information regarding the first and third criteria is available through the mental health and county jail information systems, respectively. The diagnosis is also available through the mental health information system, and will be confirmed by the program's psychiatrist.

6a. Describe any standardized instruments or procedures that will be used <u>to determine eligibility for Program participation</u>, and the eligibility criteria associated with each (e.g., "significant psychopathology" as measured by the MMPI, etc.).

There are no <u>standardized</u> instruments/procedures that will be used to determine eligibility for program participation. There will, however, be a standard eligibility checklist for staff of Jail Psychiatric Services to complete.

7. **Sample Size**: This refers to the number of subjects who will participate in the treatment and comparison samples during the entire course of the research. Of course, in any applied research program, subjects drop out for various reasons (e.g., moving out of the county, failure to complete the program). In addition, there will probably be mentally ill offenders who participate in the Program you will be researching and not be part of the research sample (e.g., they may not meet one or more of the criteria for participation in the research), or they may enter into the Program too late for you to conduct the follow-up the research you intend to do. **Using the table below,** indicate the number of participants who will <u>complete</u> the treatment interventions or comparison group interventions, <u>plus</u> the minimum six months follow-up period after Program completion. This also will be the number of subjects that you will be including in your statistical hypothesis testing to evaluate the Program outcomes. Provide a breakdown of the sample sizes for each of the four Program years, as well as the total Program. Under **Unit of Analysis**, check the box that best describes the unit of analysis you will be using in your design.

Sample Sizes (Write the expected number in each group)		
Program Year	Treatment Group	Comparison Group
First Year	*60*	*60*
Second Year	*40*	*40*
Third Year	--	--
Total	*100*	*100*

Unit of Analysis (Check one)			
X	Individual Offender		Family
	Institution		Geographic Area (e.g., neighborhood)
	Other		Other:

Although we anticipate that most clients will choose to participate in the services we will offer, we understand that not all will, especially at first contact. Even if there is an initial refusal, the case manager will continue to contact the client to offer services

available through the project. Those who refuse to participate will be considered part of the treatment group and will not become part of the comparison group.

In terms of data analysis, whether or not clients participate fully in the intensive treatment program, they will remain in the "treatment group." If needed, a backup analysis is planned that will address treatment clients vs. treatment drop-outs vs. controls.

8. **Key Dates:**
    - "Program Operational" is the date that the first treatment subject will start in the Program.
    - "Final Treatment Completion" is the date when the last treatment subject in the research sample will finish the interventions that constitute the Program (and before the start of the follow-up period).
    - "Final Follow Up Data" is the date when the last follow-up data will be gathered on a research subject (e.g., six months after the last subject completes the treatment interventions or whenever these data will become available).

    Program Operational Date: *September 13, 1999*
    Final Treatment Completion Date: *August 31, 2002*
    Final Follow-Up Data Date: *August 31, 2002: clients will remain in the treatment program until such time as the demonstration grant ends. By the end of August 2002, we will have had two years of follow-up data on those who were last to enter the program. Therefore, the data gathering and treatment end at the same time.*

9. **Matching Criteria**: (Whether or not you are using a true experimental design), please indicate the variables that you will be tracking to assess comparability between the groups. Matching criteria might include: age, gender, ethnicity, socioeconomic status, criminal history mental health diagnosis, etc.

Because we are utilizing a true experimental design, theoretically , all factors examined should be equivalent in the two groups. Those most important to this demonstration grant, however, are listed below. In addition, we are artificially equating the two groups in terms of gender because of our pre-assignment stratification by gender.

Number of arrests
Number of jail days
In-patient psychiatric days in jail
In-patient psychiatric admits in jail
In-patient psychiatric days to treatment center
In-patient psychiatric admits to treatment center

9a. After each characteristic listed above, describe how it will be measured.

All information will be obtained from the mental health/county jail information systems and will represent the relevant number during the two years prior to program entry, broken down by year.

9b. Which of these characteristics, if unequally distributed between the treatment and comparison groups, would complicate or confound the tests of your hypotheses? How will you manage that problem?

Because we have listed only those variables most important to the project, each would complicate the tests of our hypotheses if baseline differences between the groups were found. The biggest problem, of course, would be the indication that the random assignment procedure was unsuccessful. Fortunately, there are analytic techniques (e.g., ANCOVA) that could be used in analyzing the data to statistically equate the groups. Unfortunately, our true experimental design would no longer hold.

9c. If you are using an historical comparison group, describe how you will ensure comparability (in terms of target population and matching characteristics) between the groups.

Not Applicable

10. **Comparison Group**: The intent here is to document the kind of comparison group you will using. If you are using a true experimental design, the comparison group will be randomly selected from the same subject pool as the treatment subjects (in which case you would enter "true experimental design" in the space below). However, for quasi-experimental designs, the comparison group might come from a number of different sources such as: matched institutions, matched geographical areas, other matched counties, a matched historical group, etc.

    Please identify the source of your comparison group.

True experimental design.

11. **Assessment Process**: The intent here is to summarize the assessment process that will determine the nature of the interventions that the mentally ill offenders in the treatment group will receive. For example, psychological testing, multi-agency and/or multi-disciplinary assessments, etc. Also, describe the qualifications of those who will be doing the assessments.

The assessment will be multidisciplinary and will be conducted by the service coordinator and psychiatrist. There will be a complete psychosocial history and assessment, psychiatric history and assessment (including need for medications), alcohol and drug history and assessment, and client self report of symptoms and functioning, and quality of life. The history taking and assessments are standard Sacramento County procedures. In addition, the client self-report instruments have been implemented statewide by the State Department of Mental Health.

11a. Describe any standardized assessment instruments that will be administered to all treatment group subjects for the purposes of identifying appropriate interventions.

We are considering the use of the SASSI to identify alcohol and drug issues.

11b Describe any assessment instrument designed by your county that you will use.

Not Applicable

11c. Identify which assessment instruments, if any, will also be administered to comparison group subjects.

Not Applicable

12. T**reatment Group Eligibility**: Indicate the process (as opposed to the criteria) by which research subjects will be selected into the pool from which treatment subjects will be chosen. This process might include referral by a judge, referral by a school official, referral by a law enforcement officer, administration of a risk assessment instrument, etc.

All clients who meet target population eligibility are eligible to be selected into the treatment group. Eligible clients will be identified by Jail Psychiatric Services staff who will contact the treatment team. The treatment team will be responsible for carrying out the random assignment procedures.

13. **Comparison Group Eligibility**: Indicate the process by which research subjects will be selected into the pool from which comparison subjects will be chosen. For true experimental designs, this process will be the same as for treatment subjects.

Same as above.

13a. If procedures for determining the eligibility of participants for the Comparison Group differ from those described in 12, please describe them. If different procedures are used, how will you ensure comparability of the two groups in terms of critical characteristics?

Answer questions 14 - 17 by filling in the table below as instructed.

14. **Outcome Variables**: In the table below, list some of the most important outcome variables that you are hypothesizing will be positively affected by your Program. Possibilities include improvement in personal functioning, arrest rate, successful completion of probation, alcohol and drug–related behavior, risk classification, etc.

15. **Score/Scale**: To ”measure” the effects produced by your Program requires putting the variable in question on some sort of measuring scale (e.g., a test score, a count of occurrences, a rating scale, a change-score indicating progress of some sort). For each variable, for which you are making a hypothesis, indicate in the table below the measurement that you will be statistically analyzing when you test your hypothesis.

16. **Additional Information**: To explain more fully how you intend to test your hypothesis, you might find it helpful to supply additional information. For example, you might intend to partition the data by gender, or make differential hypotheses for different age ranges. Supplying “additional information” is optional; but if there is some aspect of the hypotheses testing that is important for us to know about, please supply the information in this section.

16a. For each outcome variable that will <u>not</u> be measured by a standardized assessment procedure, describe the measurement procedures that will be used. For instance, if your county has developed a risk-assessment tool that you will be using to measure change, please describe how it works.

17. **Significance Test**: In order for a statistical procedure to be the appropriate test of a particular hypothesis, certain assumptions must be met. It is critical at the outset of a research design to make sure that the measuring devices, measuring scales, samples, and methodology produce the kind of data that fit the requirements of the intended statistical procedure. In this section, please list your choice for the testing of your hypothesis, given the research design you have chosen, the measurement you will use, and the data you will be collecting.

Variable	Score/Scale	Additional Information	Significance Test
# arrests	*Number*		*F from MANOVA*
# jail days	*Number*		*F from MANOVA*
Severity of crime	*Felony/misdemeanor*		*Chi-squared from loglinear*
In-patient days in jail	*Number*		*F from MANOVA*
In-patient admits in jail	*Number*		*F from MANOVA*
In-patient days in SCMHTC	*Number*		*F from MANOVA*
In-patient admits to SCMHTC	*Number*		*F from MANOVA*

The following questions are supplemental to the Research Design Summary Form and will help us understand how you intend to manage data collected for this project.

18. What additional background information (if any) will be collected for the participants (both treatment and comparison)? For instance, will you gather information about family criminal background, drug involvement, family variables, work history, educational background, etc. If so, what will be collected and how?

A baseline packet of forms will be completed for all clients (treatment and comparison). The forms will include self-report instruments collecting information regarding marital status, probation status, living arrangement prior to arrest, employment status prior to arrest,, education history, substance use history, and family history of substance abuse treatment, convictions of crime and mental health problems.

19. How will the process evaluation be performed? What components will be addressed and how will they be measured (e.g., services available and frequency of use of those services by each participant)? What is the time frame for gathering process-related information? What recording mechanisms will be used? If descriptive or statistical analyses will be performed, please describe what they will be.

The program will be tailored to the specific needs of its recipients. All treatment clients will be offered the services that are best suited to their particular needs. Because of the individualized nature of this program, natural "sub-groups" will fall out. For example, there will be some subjects who do not utilize the residential component (or the alcohol/drug component, etc.). We will keep track of these sub-groups, and all services they use at both a gross level (i.e., utilization of housing – yes/no, participation in drug and alcohol counseling – yes/no, etc.), and a more specific level (i.e., days in housing, time in group sessions, time in individual counseling, time billed for mental health services, types of mental health services, etc.).

Process information will be collected on an on-going basis. Information that is unavailable from the county mental health information system will be reported by the case managers. Depending on the specific variable, a mediation analysis would most likely be performed (involving a series of regressions and meeting of minimum assumptions). A structural equations model is an alternative approach should the data support it.

20. Describe how you will document services received by the treatment and comparison group members. Examples are: how many counseling sessions did the subject attend, how intense (and by what measure) was the drug treatment, did the subject complete the interventions, etc.?

Please see response to #19.

21. What will be the criteria for completion of the program (by what criteria will you decide that the research subject has received the full measure of the treatment that is hypothesized to have a beneficial impact. For instance, will the Program run for a specified amount of time irrespective of the participants' improvement or lack thereof? If so, how long? Alternatively, will completion be determined by the participants' having achieved a particular outcome? If so, what will that outcome be and how will it be measured? An example is decreased risk as measured by a "level of functioning" instrument.

Not applicable

22. If Program completion will be linked to probation terms, how will you record those terms and identify adequate completion? Examples include completion of mental health or substance abuse programs, etc.

Not applicable

23. On what basis will a subject be terminated from the Program and be deemed to have failed to complete the Program? Will those who leave, drop out, fail, or are terminated from the Program be tracked in terms of the research dependent variables? For how long?

Not applicable

MENTALLY ILL OFFENDER Design 2

Program Evaluation Survey

This survey will become part of your county's MIO contract with the Board of Corrections. For purposes of this survey:

- "Program" refers to a defined set of interventions that will be given to a specified research sample in order to evaluate well-stated hypotheses. If you have more than one Program, please fill out a separate survey for each Program.

- "Research Design" refers to the procedures you will use to test the stated hypotheses for your Program. In some instances you will have more than one Research Design for a Program, in which case a separate survey must be completed for each Research Design.

- "Project" refers to all the work that you propose to do with the MIO Grant. For example, if you have two Programs and two Research Designs for each Program, the entire effort would constitute your Project (and you would complete four surveys).

To simplify the task of completing this survey, we refer you to two sources: 1) the initial Research Design Summary Form, and 2) your Program's responses to the technical compliance issues identified during the grant review. If no additional information was requested of a particular item on the Research Design Summary Form, you can enter the original text into the appropriate space below. If more information was requested, provide a more complete response.

1.	County: Sacramento	
1a.	Researcher: *Tracy Herbert*	Phone: *916-875-0831*
	Address: *3701 Branch Center Road*	Fax: *916-875-0877*
	Sacramento, CA 95827	E-mail: *herbertt@dhhs.co.sacramento.ca.us*
1b.	Research Manager: same	Phone:
	Address:	Fax:
		E-mail:
1c.	Principal Data Collector: *Carmen Stitt*	Phone: *916-875-0880*
	Address: *3701 Branch Center Road*	Fax: *916-875-0877*
	Sacramento, CA 95827	E-mail: *stittcr@usa.net*

2. **Program Name:** Current Board of Corrections grant participants have found it useful to pick a name that helps them to create a Program identity (two examples are the "IDEA" Program and the "Home Run" Program). Indicate the title you will be using to refer to your Program.

Project Redirection

3. **Treatment Interventions**: Describe the components of the Program that you will be evaluating. Another way of saying this is, "Describe how the 'treatment' offenders (those in the Program) will be treated differently than the comparison offenders (e.g., services while incarcerated, more intensive supervision, more thorough assessment, a wider range of services, more aggressive case management, better aftercare)."

The treatment intervention is characterized by 4 main components: stable housing; intensive case management (including RN and probation officer); integrated substance abuse and mental health treatment; and crisis management. The provision of

services will begin while the offender is incarcerated, and will continue throughout the life of the grant. The philosophy of the program is that once an individual is assigned to the therapeutic services, the services are always available to them.

4. **Research Design:** Describe the Research Design that you will be using. Issues to be addressed here include the name of the design (e.g., true experimental design), the use of random assignment, and any special features that you will include in the design (e.g., the type of comparison group you will use for quasi-experimental designs).

The research design will be a one group pre-test/post-test design without a comparison group to focus on process (i.e., the determinants of treatment effectiveness). Although a control group is always advantageous in terms of drawing conclusions, we felt in this case that the cost would not warrant the effort.

This part of the project is meant to be exploratory. That is, we anticipate that the true experimental component will illustrate that when compared to a control group, subjects receiving the intervention will show reductions in a number of important and "hard" outcomes (e.g., jail days, number of arrests, severity of crimes, in-patient psychiatric days in and out of jail). In this part of the project, we would like to determine what factors may have led to that improvement. The kinds of information we are interested in collecting are labor intensive, and should we attempt to collect them from a control group, would dramatically increase the cost of the program. (Please note that the information we collect in the true experimental component is all systems level, and therefore accessible without keeping contact with the 100 control subjects).

4a. Check (✓) the statement below that best describes your Research Design. If you find that you need to check more than one statement (e.g., True experimental and Quasi-experimental), you are using more than one Research Design and will need to complete a separate copy of the survey for the other design. Also, check the statements that describe the comparisons you will be making as part of your Research Design.

	Research Design (Check One)
	True experimental with random assignment to treatment and comparison groups
	Quasi-experimental with matched contemporaneous groups (treatment and comparison)
	Quasi-experimental with matched historical group
X	Other (Specify) *one group pre-test/post-test design*
	Comparisons (Check all that apply)
	Post-Program, Single Assessment
	Post-Program, Repeated Assessments (e.g., 6 and 12 months after program separation)
	Pre-Post Assessment with Single Post-Program Assessment
	Pre-Post Assessment with Repeated Post-Program Assessments (e.g., 6 and 12 months after program separation)
X	Other (Specify) *Pre-Post Assessment with Repeated Post-Entrance Assessments (e.g., 6 months, 1 year, 2 years after program entry) – because our clients will not "leave" the program, we will conduct repeated assessments at regular intervals after program entry.*

4b. If you are using a historical comparison group, describe how you will control for period and cohort effects.

Not Applicable

5. **Cost/Benefit Analysis**: Indicate by checking "yes" or "no" whether you will be conducting a Program cost/benefit analysis that includes at least: a) the cost per participant of providing the interventions to the treatment and comparison groups; b) the cost savings to your county represented by the effectiveness of the treatment interventions; and, c) your assessment of the program's future (e.g., it will continue as is, be changed significantly, be dropped) given the results of the cost/benefit analysis.

Cost/Benefit Analysis			
	Yes	X	No

5a. If you will perform a cost/benefit analysis, describe how that analysis will be performed.

Not Applicable

6. **Target Population**: This refers to the criteria that treatment and comparison subjects must meet in order to be able to participate in the research. Target criteria might include diagnostic categories, age, gender, risk level, legal history, geographical area of residence, etc. Please provide a detailed description of the criteria you will be using and how you will measure those criteria to determine eligibility.

There are three criteria for being eligible to be included in the target population: (1) at least three previous admissions to Jail Psychiatric Services during a three year period; (2) diagnoses of schizophrenia and other psychotic disorders, major depression, or bipolar disorder; and (3) not on current parole, or no history of murder, rape, robbery, kidnapping, sexual battery, or being a registered sex offender. Information regarding the first and third criteria is available through the mental health and county jail information systems, respectively. The diagnosis is also available through the mental health information system, and will be confirmed by the program's psychiatrist.

6a. Describe any standardized instruments or procedures that will be used to determine eligibility for Program participation, and the eligibility criteria associated with each (e.g., "significant psychopathology" as measured by the MMPI, etc.).

There are no standardized instruments/procedures that will be used to determine eligibility for program participation. There will, however, be a standard eligibility checklist for staff of Jail Psychiatric Services to complete.

5. Sample Size: This refers to the number of subjects who will participate in the treatment and comparison samples during the entire course of the research. Of course, in any applied research program, subjects drop out for various reasons (e.g., moving out of the county, failure to complete the program). In addition, there will probably be mentally ill offenders who participate in the Program you will be researching and not be part of the research sample (e.g., they may not meet one or more of the criteria for participation in the research), or they may enter into the Program too late for you to conduct the follow-up the research you intend to do. **Using the table below,** indicate the number of participants who will complete the treatment interventions or comparison group interventions, plus the minimum six months follow-up period after Program completion. This also will be the number of subjects that you will be including in your statistical hypothesis testing to evaluate the Program outcomes. Provide a breakdown of the sample sizes for each of the four Program years, as well as the total Program. Under **Unit of Analysis**, check the box that best describes the unit of analysis you will be using in your design.

Sample Sizes (Write the expected number in each group)		
Program Year	Treatment Group	Comparison Group
First Year	*60*	--
Second Year	*60*	--
Third Year	--	--
Total	*120*	--

Unit of Analysis (Check one)			
X	Individual Offender		Family

	Institution		Geographic Area (e.g., neighborhood)
	Other		Other:

The 120 clients will be comprised of individuals assigned to the treatment group and other individuals who receive intensive case management during later stages of the program. This latter set of people will enter into the program because as individuals in the treatment group require less intensive interaction, the program will accept additional referrals as space becomes available. All clients will be identified by Jail Psychiatric Services using one process and one set of criteria. Therefore, the source of subjects is solitary. However, some of the clients included in this part of the project will not contribute data to the true experimental component. Once 200 clients have been randomly assigned in the true experimental component, no more clients will be added to that component. However, over time treatment clients require less intensive services, and case managers will be able to add to their caseloads. It is these additional individuals who we will include in this part of the project.

8. **Key Dates:**
   - "Program Operational" is the date that the first treatment subject will start in the Program.
   - "Final Treatment Completion" is the date when the last treatment subject in the research sample will finish the interventions that constitute the Program (and before the start of the follow-up period).
   - "Final Follow Up Data" is the date when the last follow-up data will be gathered on a research subject (e.g., six months after the last subject completes the treatment interventions or whenever these data will become available).

   Program Operational Date: *September 13, 1999*
   Final Treatment Completion Date: *August 31, 2002*
   Final Follow-Up Data Date: *August 31, 2002: clients will remain in the treatment program until such time as the demonstration grant ends. By the end of August 2002, we will have had two years of follow-up data on those who were last to enter the program. Therefore, the data gathering and treatment end at the same time.*

9. **Matching Criteria**: (Whether or not you are using a true experimental design), please indicate the variables that you will be tracking to assess comparability between the groups. Matching criteria might include: age, gender, ethnicity, socioeconomic status, criminal history mental health diagnosis, etc.

Not Applicable

9a. After each characteristic listed above, describe how it will be measured.

Not Applicable

9b. Which of these characteristics, if unequally distributed between the treatment and comparison groups, would complicate or confound the tests of your hypotheses? How will you manage that problem?

Not Applicable

9c. If you are using an historical comparison group, describe how you will ensure comparability (in terms of target population and matching characteristics) between the groups.

Not Applicable

10. **Comparison Group**: The intent here is to document the kind of comparison group you will using. If you are using a true experimental design, the comparison group will be randomly selected from the same subject pool as the treatment subjects (in which case you would enter "true experimental design" in the space below). However, for quasi-experimental designs, the comparison group might come from a number of different sources such as: matched institutions, matched geographical areas, other matched counties, a matched historical group, etc.

    Please identify the source of your comparison group.

Not Applicable

11. **Assessment Process**: The intent here is to summarize the assessment process that will determine the nature of the interventions that the mentally ill offenders in the treatment group will receive. For example, psychological testing, multi-agency and/or multi-disciplinary assessments, etc. Also, describe the qualifications of those who will be doing the assessments.

The assessment will be multidisciplinary and will be conducted by the service coordinator and psychiatrist. There will be a complete psychosocial history and assessment, psychiatric history and assessment (including need for medications), alcohol and drug history and assessment, and client self report of symptoms and functioning, and quality of life. The history taking and assessments are standard Sacramento County procedures. In addition, the client self-report instruments have been implemented statewide by the State Department of Mental Health.

11a. Describe any standardized assessment instruments that will be administered to all treatment group subjects for the purposes of identifying appropriate interventions.

We are considering the use of the SASSI to identify alcohol and drug issues.

11b Describe any assessment instrument designed by your county that you will use.

Not Applicable

11c. Identify which assessment instruments, if any, will also be administered to comparison group subjects.

Not Applicable

12. T**reatment Group Eligibility**: Indicate the process (as opposed to the criteria) by which research subjects will be selected into the pool from which treatment subjects will be chosen. This process might include referral by a judge, referral by a school official, referral by a law enforcement officer, administration of a risk assessment instrument, etc.

All clients who meet target population eligibility are eligible to be selected into the treatment group. Eligible clients will be identified by Jail Psychiatric Services staff who will contact the treatment team. The treatment team will be responsible for carrying out the random assignment procedures.

13. **Comparison Group Eligibility**: Indicate the process by which research subjects will be selected into the pool from which comparison subjects will be chosen. For true experimental designs, this process will be the same as for treatment subjects.

Not Applicable

13a. If procedures for determining the eligibility of participants for the Comparison Group differ from those described in 12, please describe them. If different procedures are used, how will you ensure comparability of the two groups in terms of critical characteristics?

Answer questions 14 - 17 by filling in the table below as instructed.

14. **Outcome Variables**: In the table below, list some of the most important outcome variables that you are hypothesizing will be positively affected by your Program. Possibilities include improvement in personal functioning, arrest rate, successful completion of probation, alcohol and drug–related behavior, risk classification, etc.

15. **Score/Scale**: To "measure" the effects produced by your Program requires putting the variable in question on some sort of measuring scale (e.g., a test score, a count of occurrences, a rating scale, a change-score indicating progress of some sort). For each variable, for which you are making a hypothesis, indicate in the table below the measurement that you will be statistically analyzing when you test your hypothesis.

16. **Additional Information**: To explain more fully how you intend to test your hypothesis, you might find it helpful to supply additional information. For example, you might intend to partition the data by gender, or make differential hypotheses for different age ranges. Supplying "additional information" is optional; but if there is some aspect of the hypotheses testing that is important for us to know about, please supply the information in this section.

16a. For each outcome variable that will <u>not</u> be measured by a standardized assessment procedure, describe the measurement procedures that will be used. For instance, if your county has developed a risk-assessment tool that you will be using to measure change, please describe how it works.

17. **Significance Test**: In order for a statistical procedure to be the appropriate test of a particular hypothesis, certain assumptions must be met. It is critical at the outset of a research design to make sure that the measuring devices, measuring scales, samples, and methodology produce the kind of data that fit the requirements of the intended statistical procedure. In this section, please list your choice for the testing of your hypothesis, given the research design you have chosen, the measurement you will use, and the data you will be collecting.

Variable	Score/Scale	Additional Information	Significance Test
Quality of Life	*CA Quality of Life*	*Client Self-report*	*F/Beta from multiple regression*
Symptoms and Functioning	*Basis 32*	*Client Self-report*	*F/Beta from multiple regression*
Social Integration/Support	*Social Support Questionnaire*	*Client Self-report*	*F/Beta from multiple regression*
Symptoms and Functioning	*Brief Psychiatric Rating Scale*	*Psychiatrist Rating*	*F/Beta from multiple regression*
Symptoms and Functioning	*Kennedy Axis V Subscales*	*Case manager Rating*	*F/Beta from multiple regression*
Independent Living Skills	*Level of Functioning Scale*	*Case Manager Rating*	*F/Beta from multiple regression*
Substance Use	*Addiction Severity Index*	*Case Manager Rating*	*F/Beta from multiple regression*

18. What additional background information (if any) will be collected for the participants (both treatment and comparison)? For instance, will you gather information about family criminal background, drug involvement, family variables, work history, educational background, etc. If so, what will be collected and how?

A baseline packet of forms will be completed for all clients (treatment and comparison). The forms will include self-report instruments collecting information regarding marital status, probation status, living arrangement prior to arrest, employment status prior to arrest,, education history, substance use history, and family history of substance abuse treatment, convictions of crime and mental health problems.

19. How will the process evaluation be performed? What components will be addressed and how will they be measured (e.g., services available and frequency of use of those services by each participant)? What is the time frame for gathering process-related information? What recording mechanisms will be used? If descriptive or statistical analyses will be performed, please describe what they will be.

The program will be tailored to the specific needs of its recipients. All treatment clients will be offered the services that are best suited to their particular needs. Because of the individualized nature of this program, natural "sub-groups" will fall out. For example, there will be some subjects who do not utilize the residential component (or the alcohol/drug component, etc.). We will keep track of these sub-groups, and all services they use at both a gross level (i.e., utilization of housing – yes/no, participation in drug and alcohol counseling – yes/no, etc.), and a more specific level (i.e., days in housing, time in group sessions, time in individual counseling, time billed for mental health services, types of mental health services, etc.).

Process information will be collected on an on-going basis. Information that is unavailable from the county mental health information system will be reported by the case managers. Depending on the specific variable, a mediation analysis would most likely be performed (involving a series of regressions and meeting of minimum assumptions). A structural equations model is an alternative approach should the data support it.

20. Describe how you will document services received by the treatment and comparison group members. Examples are: how many counseling sessions did the subject attend, how intense (and by what measure) was the drug treatment, did the subject complete the interventions, etc.?

Please see response to #19.

21. What will be the criteria for completion of the program (by what criteria will you decide that the research subject has received the full measure of the treatment that is hypothesized to have a beneficial impact. For instance, will the Program run for a specified amount of time irrespective of the participants' improvement or lack thereof? If so, how long? Alternatively, will completion be determined by the participants' having achieved a particular outcome? If so, what will that outcome be and how will it be measured? An example is decreased risk as measured by a "level of functioning" instrument.

Not applicable

22. If Program completion will be linked to probation terms, how will you record those terms and identify adequate completion? Examples include completion of mental health or substance abuse programs, etc.

Not applicable

23. On what basis will a subject be terminated from the Program and be deemed to have failed to complete the Program? Will those who leave, drop out, fail, or are terminated from the Program be tracked in terms of the research dependent variables? For how long?

Not applicable